

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Practitioner's Docket No.: PAT 01023

Götz-Ekkehard SAPPER et al.  
Serial No.: This case is a U.S. National  
Phase under Chapter II based on

Group Art Unit:

Filed: Herewith

Examiner:

For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for  
Producing Aqueous Decorative-effect Coatings

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

- ☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

**COPIES PROVIDED:**

- ☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, U.S. patent application publications, copies of U.S. applications that were filed on or after June 30, 2003, and copies of U.S. applications that were filed before June 30, 2003 that are available in the Image File Wrapper System.
- ☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:
- ☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

**FOREIGN LANGUAGE DOCUMENTS**

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☒ The following non-English language references were cited in the specification. The English language equivalents/translations for these references are being submitted in substitution for and/or in addition to the non-English references.

Cited	US/English Language Equivalent
DE19712957	6284037
DE4427931	CA2154818

- ☐ English language abstract for the following non-English references are enclosed.
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☒ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

Information Disclosure Statement  
Page 3

- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$180.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation **Deposit Account No. 23-3425** for any additional fees due hereunder.

Reg. No.: 42,906

Tel. No.: ( 248 ) 948-2355

Customer No. 26922

Michael F. Morgan 20 October 2004  
SIGNATURE OF ATTORNEY and DATE  
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FORM PTO-1449 (MODIFIED) US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

Atty. Docket No.: PAT 01023

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**  
(Use sever of sheets if necessary)

In re Application of: Götz-Ekkehard SAPPER et al.

Serial No.:

Filed:

Examiner initial		DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA	3,687,885	08/29/1972	Abriss et al.	04/15/1970
	AB	5,227,421	07/13/1993	Kageyama et al.	11/02/1992
	AC	6,284,037	09/04/2001	Sapper	08/31/1999
	AD				
	AE				
	AF				
	AG				
	AH				
	AI				
	AJ				
	AK				
	AL				
	AM				
	AN				

  

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AO	CA2154818 A1	1996-02-07	CA		
	AP	DE19712957 A1	01.10.1998	DE		X
	AQ	DE4427931 C1	23.11.1995	DE		X
	AR	EP352298 B2	31.01.1990	EP		
	AS					
	AT					
	AU					

  

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	AV	
	AW	
	AX	
	AY	
	AZ	

  

EXAMINER	DATE CONSIDERED
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

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